ROLES AND RESPONSIBILITIES PROJECT

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ROLES AND RESPONSIBILITIES PROJECT

Draft Report

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INTRODUCTION

In 1995 the California Department of Social Services (CDSS) and the Health and Human Services Data Center (HHSDC) entered into a partnership for managing three very large Information Technology (IT) projects. In defining this partnership, at the highest level, CDSS is the Project Sponsor, identifying and supporting the business opportunities addressed by the projects, and HHSDC is the Project Manager, leading system acquisitions and in some cases managing the ongoing systems maintenance and operation. Since 1995 the departments have nurtured their relationship as well as the growing number of projects under their charge.

On August 25th, 2000, CDSS and HHSDC held the first of many executive management meetings to identify areas and opportunities to strengthen the relationship between the departments. During this inaugural meeting the management group agreed that documenting the roles and responsibilities between the departments was the highest priority for follow-up action, and was necessary to provide solid foundation for other initiatives identified during the meeting.

In response to the management group's direction, a sub committee met several times over the ensuing weeks to develop a discussion document reflecting key activities and appropriate roles and responsibilities for the Project Sponsor and Project Management. The committee, consisting of eight managers from the two departments, collected, synthesized, and discussed reference materials from numerous sources and perspectives as well as defined specific roles from past experiences. The committee then developed a side-by-side matrix identifying primary project tasks and activities, sorted by project life cycle phase, and showing the appropriate Project Sponsor and Project Management roles and responsibilities by activity. Finally, at the conclusion of the process, the committee identified the issues and topics generating the most discussion, to be shared with the larger management group to provide additional insight into the effort.

On November 20th, 2000, committee members presented the Roles and Responsibilities for Project Sponsor and Project Management document to the management group. Through well-guided discussion, the committee captured valuable feedback to further enhance the document and to build on the current and past experiences and relationships between the departments.

The following pages describe the CDSS Project Sponsor and HHSDC Project Management Roles and Responsibilities, based on a typical large IT system acquisitions project life cycle. The document follows the life cycle phases identified and described in the HHSDC Project Management Best Practices web site at

http://www.bestpractices.cahwnet.gov. Using these phases as a common base and with the additional extended topical reference links from the web site, we are confident that this Roles and Responsibilities for Project Sponsor and Project Management document provides sound direction consistent with the highest industry standards for project management.

DEFINITION OF PROJECT PHASES

Project Concept Phase

The Project Concept Phase includes the process of defining the business problem that needs to be solved through automation. During the concept phase the sponsoring program department develops a Concept Paper describing the overall project goals and business needs.

Project Initiation

The Project Initiation Phase includes the development of formal relationships between the sponsoring program department and the project management. The phase includes all the activities necessary for the project management to define the system concept and get approval to start the project from HHSDC management, DGS, DOIT, DOF and federal control agencies. This phase typically takes as little as three months, or up to one year to complete. The two critical milestones that must be accomplished during this phase are management approval and funding approval for the project.

Project Planning

The Project Planning Phase includes all the activities necessary for the establishment of ongoing stakeholder oversight and ongoing project management. During the planning phase, the project staffing infrastructure and the project plans, including the appropriate levels of pre-planning documentation for the follow-on phases (e.g. procurement, system development, system implementation, M&O, and closeout) are developed. The three major milestones for this phase are establishment of a project management with staff and infrastructure, establishment of the forums and processes for stakeholder accountability, and approval of project plans.

Procurement

The Procurement Phase includes all the activities necessary to document contractor and system requirements, which are used to develop an RFP/ITP that fully reflects program needs and automation constraints and opportunities. The next steps are to select a vendor and award a contract to a prime contractor who can develop the system in accordance with the system requirements and a master project plan. During this phase the RFP is completed and approved, the vendor is selected, and the contract is awarded and approved.

System Development

The system development phase includes all the activities necessary to ensure the successful development of the system by the prime contractor up to the point where it is ready to be fielded into production. Activities include approval of requirements, design, coding, system integration, and qualification testing and field-testing. The end of this phase is a fully functioning system ready for deployment.

System Implementation

The system implementation phase includes all the activities necessary for the project management to transition from the current operation (or legacy system) to an operation with the new system. It involves conversion, business process re-engineering, site preparation, pilot operations, training, and system rollout.

Maintenance & Operations

The maintenance & operations phase includes all the activities necessary to provide ongoing production environment support. During this phase the fielded system will be modified and updated after initial implementation. Changes to the system must be made according to change standards and will follow the same phases as the system acquisition model: initiation, planning, development, implementation, and operations.

Project Closeout

The closeout phase includes all the activities necessary for the project management to bring closure to the project effort (upon system acceptance) and to transition system responsibility to an operations unit. It is important that lessons learned are captured and that project information is properly archived.

GLOSSARY

Accept:

Formal signoff obtained before advancing to next project phase

Change Management:

Change management is the formal process allowing for the tracking of changes to a system, application or document
(See Attachment 1 for greater details)

Concept:

A high-level description of a business problem that needs to be solved through automation

FSR:

Feasibility Study Report. This type of report is to study the feasibility of a development effort or project to establish risk, possible scope, and plausibility of success

Go/No Go Meeting:

A meeting involving high-level decision-makers and key stakeholders to determine whether or not a project continues
(See Attachment 3 for greater details)

Influentials:

Influentials are those groups of people whose interests and authority may influence the life cycle of a project
(See Attachment 4 for greater details)

IV&V:

Independent verification and validation

PAPD:

Planning Advance Planning Document. A document that is submitted prior to the start of a development project for planning, funding, and definition of scope.

Project Charter:

The document, which defines the project structure, projects goals, system concepts, project approach, project team, priorities and initial risks
(See Attachment 2 for greater details)

Project Closeout:

This is the final phase of a project that includes all the activities necessary for the project management to bring closure to the project once system acceptance has been completed
(See Attachment 5 for greater details)

Project Manager:

The individual/organization who has responsibility for planning, organizing and controlling a project

Project Management:

The processes associated with planning, organizing and controlling project resources to accomplish project objective

Project Sponsor:

The individual/organization who has the highest stake in the project's outcome, costs and benefits and without whose support and approval a project does not continue

Project Structure:

An element of the Project Initiation that defines the roles, responsibilities, relationships and communications of the project organization

QA:

Quality Assurance

ROLES AND RESPONSIBILITY MATRIX

Activity or Phase	Project Sponsor Department	Project Management	Product/Deliverable
Concept Definition	Develop overall project goals and business needs	Consult/discuss with CDSS	Project Concept Initial Go/No Go
Project Initiation	Participate in Project Sponsor Team Definition Participate in Budget Preparation	Participate in Project Office Team Definition Participate in Budget Preparation	Project Team Budget Document
	Conduct Initial Kick-off Meeting	Participate in Kick-off Meeting	
	Approve Project Charter Include Legal Review	Develop Project Charter	Charter Go/No Go
	Approve Project Structure	Document Project Structure	Charter
	Participate in the development of the initial transition plan (include in Charter*)*	Participate in the development of the initial transition plan (include in Charter*)*	Charter
		Develop schedules and resource plans	Charter
	Provide funding source and review and approve project initiation documentation	Develop project and funding approval documents	PAPD/FSR/BCP
	Assess and obtain Project Sponsor Resources Assess and obtain legal resources	Assess and obtain Project Management Resources	BCP Go/No Go
	Participate in initial Risk Analysis (Include legal review*)*	Conduct initial Risk Analysis	Risk Mitigation Plan
	Provide final conflict resolution (Include legal review)	Manage conflicts and escalate as necessary	
	Define and initiate stakeholder relationship and secure participation	Assist in identifying stakeholders and develop Communications Plan	Communication Plan
		Provide facilities, hardware and software for project development staff use	

Activity or Phase	Project Sponsor Department	Project Management	Product/Deliverable
		Establish all project management processes; issue tracking, change control, project reporting	
	Participate in the development and review of project initiation documentation	Development and review of project initiation documentation	
Tasks Across All Project Phases	Provide timely policy and program interpretation and issue resolution for project staff and ensure their understanding of program rules and regulations (Share major issues with Legal)	Identify, track and monitor policy issues.	Issue Log
	Participate in ongoing risk assessment	Ongoing project risk assessment	Risk Mitigation Plan Go/No Go
	Act as ongoing executive contact with CWDA and policy communications with counties and stakeholders	Provide ongoing communications with counties on project activities and Liaison with key stakeholders including Control Agencies	
	Act as ongoing executive contact with Control Agencies (Include legal on an as needed basis)	Provide ongoing communications with Control Agencies	
	Provide timely review and acceptance of project deliverables	Define, develop, review, and make recommendations for acceptance or rejection of project deliverables	
	Monitor project	Track and manage progress Monitor QA and IV&V	
		Report progress to Project Sponsor and customers	Status Reports
Plan the Project	Adopt work plan Participate in schedule planning Participate in resource planning	Define the work plan Develop initial schedule Analyze resource requirements	Master Project Plan Go/No Go
	Participate and support the Joint Requirements Planning Session	Organize and conduct the Joint Requirements Planning Sessions	
	Participate in the identification, review, and validation of the requirements	Document, review and validate the requirements	Requirements Definition Document

Activity or Phase	Project Sponsor Department	Project Management	Product/Deliverable
Procurement	Formally accept the completed requirements		
	Participate in project procurement activities Provide input to RFP Go/no go meeting Provide input to Contract Participate in Contract Negotiations Include legal participation/review	Management of all project procurement activities Develop RFP Attend go/no go meeting Develop Contract Lead Contract Negotiations	RFP Go/ No Go Executed Contract
	Monitor project	Track and manage progress	
		Report progress to Project Sponsor and customers	Status Reports
Application Design	Participate in Joint Application Design sessions	Coordinate and conduct Joint Application Design sessions	
	Participate in the development and review of project design documentation	Develop and review all project design documentation	System Design Documents
		Accept technical feasibility and performance requirements	
	Formally accept application design	Perform advisory role	
	Determine prioritization for and approve any changes to the accepted requirements	Identify changes to the accepted requirements	Change Order
	Assist and accept the implementation, data conversion and users training plan	Develop the implementation, data conversion and users training plan	Implementation Plan
	Assist in developing the business process re-engineering guide	Develop business process re-engineering guide	
Application Development and Testing	Participate as needed in application walk through reviews	Develop application	
	Participate in unit, system and integration testing	Perform unit, system and integration testing	Fully Functioning System

Activity or Phase	Project Sponsor Department	Project Management	Product/Deliverable
	Define detailed functional system acceptance criteria	Participate in defining and document detailed functional system acceptance criteria	
	Identify appropriate stakeholder participation		
	Participate in defining technical system acceptance criteria	Define and document detailed technical system acceptance criteria	
	Participate in planning, preparation, including test conditions and scripts, and conduct of User Acceptance Testing	Plan, prepare and coordinate User Acceptance Testing, including county and stakeholder participation	User Acceptance Test Plan
	Review and participate in the evaluation of capacity test results	Plan and prepare and coordinate capacity testing, including county and stakeholder participation	
	Formally accept system	Support system acceptance	System Go/No Go
Implementation	Assist and participate in implementation activities: • Pre-planning • Communications • Oversight Coordination • Data Conversion • Business Process Reengineering-Change Management • Interface-Systems Operations • Inventory Control • Site-Infrastructure Preparation • Equipment Delivery and Installation • User Training	Coordinate and execute implementation activities: • Pre-planning • Communications • Oversight Coordination • Data Conversion • Business Process Reengineering-Change Management • Interface-Systems Operations • Inventory Control • Site-Infrastructure Preparation • Equipment Delivery and Installation • User Training	
	Approve all system documentation	Accept all system documentation	
	Formally accept the implemented system		

Activity or Phase	Project Sponsor Department	Project Management	Product/Deliverable
Close the Project	Provide buy-in to project retrospective	Conduct and document project retrospective	Best Practices and Lessons Learned
	Participate in development, review and approve Post Implementation Evaluation Report	Prepare and submit Post Implementation Evaluation Report	
	Initiate transition plan	Participate in the transition of major project responsibilities	
Maintenance and Operations	Identify and analyze program changes in response to legislative, regulatory and policy changes, user requests and technology changes	Analyze system impact and manage system development life cycle in response to identified changes	
	Prioritize and approve system changes through the change control process	Manage and support the change control process	
	Participate maintenance and operations activities	Provide on going production environment support including but not limited to database administration, connectivity, systems administration, Help Desk etc.	

Activity or Phase	Project Sponsor Department	Project Management Office	Product/Deliverable
Change Control	Review and Approve Configuration Management Plan	Lead Development of Configuration Management Plan	Configuration Management Plan
	Participate in Configuration Control Board (CCB) Establishment	Lead Configuration Control Board (CCB) Establishment	Configuration Control Board Definition
	Obtain Project Sponsor Resources	Obtain PMO Resources	Configuration Control Board
	Participate in CCB Processes	Lead CCB Processes	Documented CCB Process
		Receive Request and Document in Project Tracking System	Documented Change Request
		Assign Project Staff for Preliminary Analysis of Change Request	Preliminary Analysis
		Present Requested Change to Project Management for Evaluation	Approval/Disapproval to Proceed with Detailed Analysis
		Lead Preparation of Detailed Analysis	Completed Detailed Analysis
	Act on Presented CCB Items (approve, reject, revise and resubmit, defer, withdrawn)	Present Completed Detailed Analysis to Configuration Control Board	Approval/Disapproval to Proceed with Analyzed Change
		Document Decisions in Issue Tracking System and Develop Change Request	Documented CCB Decisions
	Prioritize Requested Changes and Identify Changes to be Completed	Maintain Prioritized Change Request List	Prioritized Change Request List
	Participate in Development and Testing of Approved Change Requests	Lead Development and Testing of Approved Change Requests	Completed System Change
	Participate in Documentation Approval Efforts	Lead Documentation Approval Efforts	Approved Program and System Documentation

Activity or Phase	Project Sponsor Department	Project Management Office	Product/Deliverable
Independent Verification and Validation	Participation in Verification and Validation Effort	Lead Verification and Validation Review of Development Effort to Ensure that Configuration Control Processes and Development Standards are Being Followed	Standardized Control and Versioning of Documentation and Code

Attachment 1

CHANGE MANAGEMENT/VERSION CONTROL

This attachment will describe desirable procedures or processes for control and documentation of changes to applications (programs), documents and the release of versions of either applications or documents. There is some overlap in the material but the purpose is the same in all three of the following descriptions:

Application Change Management
Application Version Control
Document Version Control

The purpose of change management and version control is to document changes and provide a history of what led to the proposed change. The Application Version Control procedure includes safeguards and procedures to distribute the most current versions of applications to users.

Application Change Management

The purpose of Application Change Management is to provide a method to document inevitable changes to programs/applications/systems as they are developed, tested, deployed and used. Project staff and vendors should adopt formal application change management procedures (commercial software is available).

As vendor staff or testers/users of an application identify necessary or desired changes, the change is documented and entered into an automated change tracking system. The documentation should include sufficient information for technicians to determine what will be necessary to make the change or to research what will need to be done to make the change.

Typically changes are categorized as being "in-scope" or "out-of-scope". In-scope changes are changes that fall within the scope of the project as outlined in the contract (or any formal agreement with a vendor) and/or the project charter. Out-of-scope changes are changes that are beyond the requirements of the original contract or project charter that are new mandatory programmatic changes or enhancements to the application.

In-scope changes must be prioritized. Once in-scope changes are prioritized they must be scheduled and a determination must be made about the impact the change may have on the project schedule and budget. Out-of-scope changes should also be prioritized. Once the out-of-scope changes have been prioritized a determination must be made whether or not they are of sufficient value to be included in an amendment to the original scope of the project. In most cases out-of-scope changes will require an amendment to the vendor contract of the project and an increase in the budget. The

out-of-scope changes may or may not call for an extension of the project period. In addition, out-of-scope changes may require a sole source contract with the vendor, especially if the changes are identified after project completion and implementation.

Application Version Control

Application Version Control is a formal procedure used by vendors that allows updated versions of applications to be deployed to users in a controlled manner. As changes are made to an existing application they are scheduled for release to users in a particular version. Once the version has been prepared and tested it must be scheduled for release to users in a way that minimizes any interruption to the use of the application/system. Typically new versions are implemented over a weekend or in the evening hours.

Users of new versions must be informed/trained on changes that have been made to the application that directly affect their use of the system. Simple changes can be communicated with announcements that can appear as a user logs on. More complicated changes to applications might require formal training before the new version is implemented.

Version control of applications must include safeguards when new versions are implemented. If a version fails, then a method must exist that allows return to the previous successful version.

Documentation that describes the difference from one version to another should be maintained. The documentation should be complete enough to allow third party vendors to duplicate or modify changes should it be necessary.

Document Version Control

Document Version Control is a procedure that captures all related materials and issues that affect the development of important documents. Documents include not only system documentation but also important documents that have a direct effect on a particular application or system. Version Control reaches beyond documents developed by vendors during project development to key documents that include changes in policy or procedures that are developed by Project Sponsors.

Once a decision is made to subject a document to version control the accepted current version becomes the baseline document. The baseline document and critical background material that relates to the development of the baseline document are held in protected libraries/files. An organization or a staff person within an organization must take ownership of the baseline document and the background libraries.

The document file and the contents of the background libraries can be shared with anyone who has a need to review and or edit the document. However, the document can only be updated (altered) by the owner of the document. Once the owner has

modified the document it is saved under a new version number. Any material that relates to the changes from one version to the next is also saved in a set of new libraries that relate to the particular version. After the new version and the background are secured the new version can be issued to those who need the latest version.

The documents that should be subject to control range from simple documents that are unique to one organization and may have a limited impact on an application/system to documents that can involve more than one organization/department that have a dramatic impact on an application or system. Documents subject to control should include but are not limited to the following:

Key planning documents

Procurement documents

Application/system documentation

Change Management documentation (see Application Change Management above)

Policy directives that have or may have an impact on the application/system

Communications between Vendors, Project Management and/or Project Sponsors

Formal communications to Influentials (see attachment 4)

Documents that should be included in the libraries that support a version should include but are not limited to:

Documents or reference to documents that were used to influence change

E-mail traffic that relates to the version

Legal opinions regarding changes in the version in question

Notes from formal meetings regarding the changes in this version

The two lists above are examples of types of documents to be controlled and examples of the type of material to be included in supporting libraries. The lists are not complete. Decision on whether or not to control a document or to include material in support libraries should be made considering its respective impact on an application or the need for an unbiased view of the development of a final document.

In addition to the traditional documents created during the development of projects Document Version Control should also be used during the procurement process.

Attachment 2

PROJECT CHARTER

Description:

It is vitally important that the project team, stakeholders and control agencies have a common project vision at the beginning of the project. The Project Charter can be used to establish a common understanding of a project's goals and objectives and the roles and responsibilities of all parties involved in the project. The initial draft of the Project Charter should be written once the overall project goals and business needs have been developed.

The Project Charter is created to addresses the following questions:

1. What are the goals and objectives of this project?
2. What is the expected outcome of the project?
3. What is the project approach?
4. Who is involved in the project and what are their roles and responsibilities?
    - Stakeholders
        - CWDA
        - Individual consortia
        - Individual County Welfare Directors
        - Advocate groups
        - End Users of the system
        - Other
    - Control agencies
        - DOF, DOIT, DGS, Federal Agencies, etc.
    - Other
        - Health and Human Services Agency
        - Governor's office
        - Legislature
5. What are the project priorities and risks?
6. What are the approximate costs and resource needs to support the project?
7. What are the potential limitations, constraints and conditions that may affect the project?
8. What steps will be taken to transition the project at completion to the Project Sponsor?

The Charter answers these questions at a high level but in sufficient detail to allow stakeholders, project sponsors and control agencies to:

- Decide to support or not support continuation of the project
- Agree and commit to their respective roles and responsibilities

In addition the project charter provides strategic direction to the team and its stakeholders. Once the project planning begins, the Master Project Plan, System Requirements Specification, Communication Plan, Governance Plan and Transition Plan will answer these questions in more detail. It is important that all project decisions, plans, and activities are consistent with the Charter.

The Charter is a means to share the vision with others to achieve consensus between all the key players. The Charter should have a formal approval and coordination process. Typically the Charter has a signature page to get approval from the project manager and sponsors and may require formal acceptance from control agencies and specific stakeholders in regards to their respective roles and responsibilities. The Charter is a living document and can be updated anytime during the project life cycle. Such updates would not be expected unless there was a major change in the project direction. Those changes could be external such as the creation of new State legislation or Federal policy. Those changes could also be internal such as the adoption of a new technology.

The charter also acts as a control document. Disagreements during the course of the project should be tested against the contents of the charter. In addition, if outside organizations have concerns with the project in any way, and they were represented by stakeholders that were part of the development of the charter, they should be referred to the agreed upon roles and responsibilities in the charter. The charter also documents Go/No Go meeting procedures and includes a list of the initial stages of the project at which times a go/no go meeting will occur.

The project charter is the first formal document that should have sufficient information to allow management at the highest level to make the first formal go/no go decision.

In the case of projects at the county level where there are no formal contractual agreements between county and state, this charter concept would be shared as a “best practice.” However, at a minimum the state and county should agree on the respective roles and responsibilities identified in this charter definition.

PROJECT CHARTER OUTLINE

1. Introduction
2. Background
    - 2.1. Business Problem
    - 2.2. Background
3. System Concept
    - 3.1. Project Goal Statement
    - 3.2. Project Objectives Statement
    - 3.3. Project Scope

3.4. System Vision
3.5. Critical Success Factors
3.6. Go/No Go Meeting Plan

4. Project Approach
   4.1. Acquisition Approach
   4.2. Project Deliverables
   4.3. Project Milestones
   4.4. Successful Completion Criteria
   4.5. Transition Requirements

5. Organization
   5.1 Project Organization and initial estimate of resource needs
   5.2 Roles and Responsibilities
      - Project Manager
      - Project sponsor
      - Control Agencies
      - Key stakeholders
      - HHSA
   5.3 Issue resolution process

6. Project Analysis
   6.1. Project Priority and Strategic Fit
   6.2. Project Impacts
   6.3. Preliminary Risk

Attachment 3

GO/NO GO MEETINGS

From the beginning of a project to implementation, it is critical to periodically decide whether or not to continue on the current course of action. The go/no go meeting is the forum for these kinds of decisions. Unlike meetings that are used to communicate status or talk about issues, the sole purpose of the go/no go meeting is to advocate to the project sponsor whether or not to proceed. The project sponsor may, if the decision is to stop the project, need to take the strong recommendation of the group to others for a final decision.

In the early stages of a project a go/no go meeting might be simply to decide if, after the initial research has been done, the project should be launched. As the project progresses, go/no go meetings become more involved and will, most likely, require more pre-meeting staff work and involve more project staff, sponsors and stakeholders. Since the decision made in the go/no go meeting will have a major impact on the project, the participants need to be decision makers from the major control agencies, stakeholder organizations, project and state staff. The key to selecting participants is whether or not they have the power to stop or divert the project.

The go/no go meeting is structured to lead the group to the desired outcome, the decision. Sufficient background material must be provided to participants so that at the conclusion of the meeting, they are able to decide "GO OR NO GO". A go/no go meeting might be called under the following circumstances:

- At the completion of the Project Charter

  The project charter provides a high level overview of the project, the impact of the project on existing priorities and some idea of the resources that will be required. What is found in the charter could have an effect on the ability of key participants to commit staff time and funds as originally proposed. It is preferable to find out at this point if there are any major obstacles rather than after the project is under way.

- During the procurement process

  There could be a number of go/no go meetings that could take place during the procurement phase depending of the results of vendor response to RFPs. In addition, if only one vendor responds that could call for a go/no go meeting

- At the end of the project initiation phase

A go/no go meeting at the end of the initiation phase offers the opportunity to consider continuation of the project before embarking on resource-intensive stages that start with the “Plan the Project” phase.

- At the end of project development but before User Acceptance Testing (UAT) starts

  UAT is a critical milepost in most projects. Before UAT begins, an informed decision should be made that the product is ready to be tested and that any preparatory work that needs to be done is complete.

- Before the beginning of any pilot test of a product or the start of implementation

  The results of the pilot test will be critical to whether or not implementation proceeds. In addition to the results of the pilot, there will most likely be a number of activities that must occur before implementation can be completed successfully. The go/no go meetings provide an opportunity to insure everything has been done to maximize the probability of success.

The decision on when to have go/no go meetings will depend on the size and complexity of the project. Major mileposts and deliverables could necessitate a meeting. Major changes in the program environment (court cases, program changes, funding issues) might require a go/no go decision to be made. The critical factor is whether something has happened or is about to happen that could increase the risk of project continuance. The go/no go meeting procedure should be a part of the Project Charter. The procedure should include guidelines about when to call a meeting and a description of who acts on positions taken by the group.

GO/NO GO MEETINGS

PLANNING CONSIDERATIONS

The following narrative includes material that should be considered when establishing a plan for Go/No Go meetings for a project. Whether or not all of the elements presented are used will depend somewhat on the complexity of a project.

Types of Go/No Go meetings:

The type of Go/No Go meeting that is scheduled will depend on the participants needed to make the Go/No Go decision at a particular point in a project. Three types of meetings are covered, closed go/no go meetings, open go/no go meetings, and independent go/no go meetings.

CLOSED GO/NO GO MEETING

A closed meeting requires no outside expertise to come to a conclusion regarding continuation of the project. Participants will include decision-makers from the Project Sponsor Department and the Project Management.

OPEN GO/NO GO MEETING

An open meeting requires participants with information about the project that will be needed for the decision-makers to reach a conclusion. Other participants might include project staff or consultant staff that brings a particular expertise to the meeting.

INDEPENDENT GO/NO GO MEETING

An independent meeting is one that is conduced by a third party such as an Independent Verification and Validation consultant. The meeting may be necessary as a result of the consultant findings or might be called by decision-makers when it is felt that guidance from of an outside independent party familiar with the project would be helpful. This meeting differs from an open meeting because the outside third party conducts the meeting.

Frequency of Go/No Go Meetings

There are three times when a go/no go meeting should be held; when it is one of a number of go/no go meetings that were scheduled at the start of the project; when a pre-determined threshold in the project, such as project scope, has been or is about to be exceeded, and meetings that must be called because of actions taking place that are outside the purview of the project.

PREDETERMINED MEETINGS

During the Project Initiation phase, scheduling go/no go meetings at key junctures of the project should take place. The meeting schedule should be included in the Project Charter. Predetermined meetings should be considered at the following points of a project:

- At the completion of the Project Charter
- At the completion of each project phase
- At the completion of contract negotiations
- At the end of project initiation
- At the end of project development but before User Acceptance Testing
- Before the beginning of any pilot test
- Any other major stage of the project that is critical to project success

THRESHOLD MEETINGS

Thresholds should be established for critical measurable elements of a project. The most obvious critical elements are project scope, project resources, and the project schedule. Established thresholds should be made a part of the Risk Management process. A progress report about significant movement toward or away from established thresholds should be provided to decision-makers on a regular basis. A go/no go meeting should be scheduled if any of the critical element thresholds are met

OUTSIDE INTERVENTION MEETINGS

During the life of a project outside influences such as recent litigation or new legislation may make it necessary to call a go/no go meeting. During Project Initiation and as part of the Risk Management process efforts should be made to identify organizations and/or key stakeholders who may have knowledge of up coming events that could have a direct impact on the continuation of the project.

Changes to the Go/No Go Meeting Schedule

As a project progresses new information may make it necessary to re-evaluate the go/no go meeting dates that were scheduled during Project Initiation. At the end of each go/no go meeting and at the end of major non-go/no go meetings the date for the next scheduled meeting should be considered. It may be necessary to meet sooner or increase the scheduled number of meetings.

OUTCOMES

Every go/no go meeting must result in a decision. The decision as well as complete documentation leading up to the decision must be documented subject to the version control and historical documentation library requirements. Dissemination of documentation and/or results of meetings should be according to agreements found in the Project Charter. Go/no go meeting decisions and all of the relevant material that led to the decision should be submitted to a knowledgeable independent third party (such as an IV&V consultant) for review of the findings.

GO/NO GO TO PLANS

The approach to holding go/no go meetings for a project should be documented in the Project Charter. At a minimum the following should be addressed:

- Initial Go/No Go meetings schedule
- Identification of those who will attend including whether or not they have a say in the results
- The methods to be used to formerly record the results of meetings
- The process used to disseminate meeting results and documentation
- An agreement or statement about how go/no go meetings are likely to affect the project schedule

Attachment 4

INFLUENTIALS

Public sector projects can be affected by three groups of people, Stakeholders, Control Agencies and elected officials. Each of these groups needs to be considered separately. Their respective roles and responsibilities need to be identified and in some cases agreed upon in advance of launching a project.

- Stakeholders

  Stakeholders can be found both inside and outside a project sponsor's organization. They are individuals or groups of individuals that have sufficient interest in the goals and objectives of the project to be either strong allies or significant obstacles.

  Examples of Stakeholders

  Typical stakeholders for public sector projects could be recipient advocates and other organizations likely to be affected by the goals and objectives of the project such as vendors. In addition, depending on the project, counties, local governmental organizations and recipients (as a generic group) may be considered stakeholders.

  Roles and Responsibilities (Rs&Rs) for Stakeholders

  The goal in establishing Rs&Rs is to elicit support for the project and a willingness to work together toward successful outcomes. Stakeholders are responsible for communicating the nature of the project and its progress to their constituencies.

- Control Agencies

  Control agencies review projects to insure:

  1. Automation projects adhere to IT industry standards and State regulations and policies related to IT projects
  2. Automation projects are appropriately funded according to current State fiscal policies and regulations

  Examples of Control Agencies

  Control Agencies include the Department of Finance, the Department of Information Technology, the Department of General Services and related federal program departments or control agencies.

Rs&Rs for Control Agencies

The goals in establishing Rs&Rs is to elicit agreements that control agencies will be flexible and responsive in dealing with the needs of the project and in dealing with issues under their purview that will come along as the project progresses.

- Elected/Appointed Officials

Elected/Appointed officials' actions can have an indirect affect on projects.

Examples of Elected Officials

The legislature, the Governor's Office and County Boards of Supervisors

Example of Appointed Officials

Department's supervising Agency.

Rs&Rs for Elected Officials

Project and Sponsor should keep pertinent elected officials (or their staff) up to date about new and ongoing projects that may relate to the elected official's areas of interest.

Attachment 5

PROJECT CLOSEOUT and SYSTEM TRANSITION

Project Closeout

The closeout phase includes all activities necessary for the project management to bring closure to the project effort (upon system acceptance) and to transition system responsibility to an operations unit. It is important that lessons learned are captured and that project information is properly archived. It is also important that a transition plan exists that identifies changes in roles and responsibilities now that the project has been completed, accepted and implemented. Projects that have additional follow-up changes to the system often delay or defer the closeout phase. There are four critical milestones that must be accomplished to closeout a project:

Milestone 1: Pending Actions Closed-Out & Completed Topics, References, & Samples
Milestone 2: Data Archived & Lessons Learned Captured
Milestone 3: Contract Closed-Out or Terminated
Milestone 4: Project Closed-Out or terminated

Steps to Milestone 1: Pending Actions Closed-Out & Completed

1. Closeout all open action items from the Issue and Action Item Tracking System.
2. Verify that all requirements from the project plan have been satisfied.

Steps to Milestone 2: Data Archived & Lessons Learned Captured

1. Verify that all documentation is properly accounted for in the Document Management System.
   Verify that documents are updated and current
2. Review and document lessons learned.
3. Archive appropriate project records, including contractor records.

Steps to Milestone 3: Contract Closed-Out or Terminated

1. Verify that all contractual obligations have been satisfied.
2. Conduct contractor evaluation using DGS Form STD 4. This evaluation should be submitted to DGS within 60 days of contract completion.

Steps to Milestone 4: Project Closed-Out or Terminated

1. Conduct Post Implementation Evaluation Report (PIER).
2. Transfer project equipment (Property Transfer Report) or documents (Records Transfer List) to other organization, if appropriate.

System Transition

Implement Transition Plan

TRANSITION PLAN

The transition plan is a document that contains the next steps once a project has been successfully implemented. In its simplest form it outlines the transfer process for the responsibility of the application/system from the Project Management to the Project Sponsor Department. Typically the transition takes place when the project moves from implementation to maintenance and operations.

The first time the Transition Plan should be addressed is in the Project Charter. Just as in the development and implementation of a project, the Transition Plan requires agreement among many of the same organizations on the process for transitioning the completed system/application. The Transition Plan is a document that also should be developed over the lifetime of project development/implementation.

The Transition Plan contains but is not limited to the following sections:

1. Key organizations involved in the transition
    - Project Management Staff or organization
    - Vendor Staff or organization
    - Project Sponsor Department Staff or organization
    - Control Agencies
    - Stakeholders
2. Roles and Responsibilities of those involved during/after transition
3. Resources
    - For Transition
    - For ongoing Maintenance & Operations
4. Transition Goals and Objectives
5. Transition Time Line
6. Major transition activities
7. Follow up activities that may exist after successful transition

Attachment 6

CONTRACT LEGAL HEALTH

A. The issue presented is how to avoid or best defend against the argument that having accepted a very technical and almost impossible deliverable to review i.e. the detailed system design, the state has waived its rights to the system as set forth in the solicitation documents and contract.

First, the contract should provide that the acceptance of highly technical deliverables should be predicated on the vendor representing that the deliverable meets the obligations of the vendor and the requirements of the system. Second the state should have in contract language the qualification that acceptance of a deliverable, especially a complex one does not in any way change the rights of the state or obligations of the vendor, and that review of these highly complex deliverables in the short time allotted i.e. 15 days, only allows the state sufficient time to determine whether there are clear and easily discernible deficiencies in the deliverable.

The above premises need to be tailored for each project in light of whether it is a true development project such as CWS/CMS or one that requires the vendor principally to provide a service such as EBT.

B. The second issue was when should an appraisal be made of the status legal rights and obligations of the state at significant stages of the projects cycle.

There are several significant points in the cycle of any project that require careful review to determine what are the current rights and obligations of the state and the vendor. The ones that stand out are the general system design, the detailed system design, user acceptance testing, pilot, and significant stages of roll out i.e. LA County. In addition to these points, there will be ones that are unique to a particular project and should be added to the legal checkpoints based upon concurrence of the project sponsor and project manager.

At these legal checkpoints, the overall question is whether the legal relationship to each party i.e. the state and the vendor has changed without deliberation. There are often questions regarding what the contract obligates the vendor to do for the fixed price of the contract. The vendor is likely to argue if there is any ambiguity that the work, while in scope, is work that had not been anticipated. For example, a change order or using DGS terminology a “work authorization, might be accepted by the state for development of an interface which was not specifically referenced but which could be logically inferred from the requirements of the system, work that arguably was already covered by the contract. That change order could be viewed as agreement by the parties that the work in fact does is not currently required under the contract .